

## Simplify Your Compliance Delivery and Monitoring

Meet your total compliance delivery and monitoring needs with CheckPoint. Pinpoint's comprehensive solution allows you to manage the entire supervisory control process quickly and easily. Provided in a managed service model, CheckPoint provides home office and field personnel online, 24x7 easy-to-use tools and programs to satisfy their compliance requirements, while giving Chief Compliance Officers and their compliance staff instant, real-time status reports to verify both individual and organizational requirements are being met.

The system utilizes Pinpoint's state-of-the-art software platform and infrastructure which can include both client content and content from leading industry organizations—LIMRA, National Underwriter, and STC. All content is integrated into Pinpoint's compliance system to provide real-time tracking and reporting so supervisory personnel (including CCOs and CEOs) have instant access to reports from a company, branch or individual level.

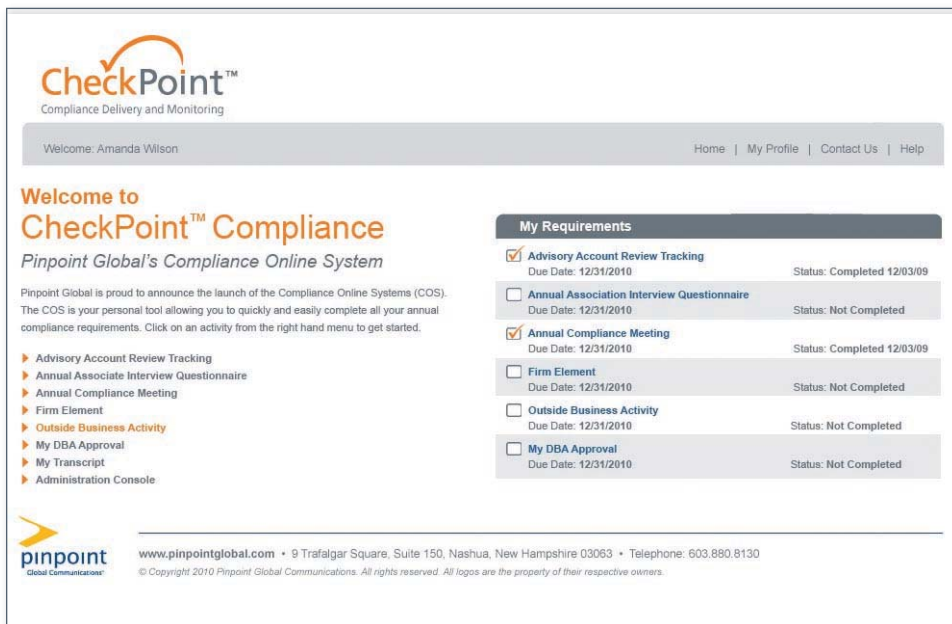
Find out why you need CheckPoint to simplify your **Compliance Delivery and Monitoring!**

## Why CheckPoint

- Satisfy FINRA requirements
- Replace paper-based processes
- Centralized real-time reporting
- Deliver compliance content 24x7
- Reduce compliance costs
- No additional infrastructure needed
- Monitor compliance activities of the entire organization
- SEC 17a-4 compliant

## Supported Functionalities

- ACM, ACQ, OBA, DBA, Firm Element and other requirements integrated into one delivery system
- Real-time delivery
- Customizable smart forms
- Configurable review and approval process
- Reporting dashboards
- Automatic email reminders and system flags
- Full client hierarchy integration



CheckPoint™  
Compliance Delivery and Monitoring

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**Welcome to CheckPoint™ Compliance**  
Pinpoint Global's Compliance Online System

Pinpoint Global is proud to announce the launch of the Compliance Online Systems (COS). The COS is your personal tool allowing you to quickly and easily complete all your annual compliance requirements. Click on an activity from the right hand menu to get started.

- ▶ Advisory Account Review Tracking
- ▶ Annual Associate Interview Questionnaire
- ▶ Annual Compliance Meeting
- ▶ Firm Element
- ▶ Outside Business Activity
- ▶ My DBA Approval
- ▶ My Transcript
- ▶ Administration Console

**My Requirements**

<input checked="" type="checkbox"/> Advisory Account Review Tracking Due Date: 12/31/2010	Status: Completed 12/03/09
<input type="checkbox"/> Annual Association Interview Questionnaire Due Date: 12/31/2010	Status: Not Completed
<input checked="" type="checkbox"/> Annual Compliance Meeting Due Date: 12/31/2010	Status: Completed 12/03/09
<input type="checkbox"/> Firm Element Due Date: 12/31/2010	Status: Not Completed
<input type="checkbox"/> Outside Business Activity Due Date: 12/31/2010	Status: Not Completed
<input type="checkbox"/> My DBA Approval Due Date: 12/31/2010	Status: Not Completed

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Name	Location	Producer ID	CRDF	Submit Date	Status	ACM	ACQ	FE
Brown, Julie	Territory 1	8805322	11/21/11	11/17/2008	Complete	10/6/2008	11/17/2008	11/17/2008
Brown, Suzanne	Territory 1	8805322	11/21/11	11/17/2008	Pending	10/6/2008	11/17/2008	11/17/2008
Byrnes, Norman	Territory 1	8805322	11/21/11	11/17/2008	Complete	10/6/2008	11/17/2008	11/17/2008
Canon, Julie	Territory 1	8805322	11/21/11	11/17/2008	Complete	10/6/2008	11/17/2008	11/17/2008
Cass, Samantha	Territory 1	1231211	11/21/11	11/17/2008	Assignf			
Chenail, Martha	Territory 1	8804345	11/21/11	11/17/2008	Assignf			
Choi, Catherine	Territory 1	1801210	11/21/11	11/17/2008	Complete			
Conroy, William	Territory 1	8804464	11/21/11	11/17/2008	Complete			

Compliance Summary Report



**My Firm Element Training** Close X

Status: In Progress

Anti-Money Laundering	Status: Complete	Launch Program
Selling Away Your Career	Status: Incomplete	Launch Program
Customer Communications for Retail Professionals	Status: Incomplete	Launch Program
Suitability and Sales Practices for Selling VAs	Status: Incomplete	Launch Program

Firm Element



## Checkpoint Features

Feature	Benefit
SEC 17a-4 compliant	Meet SEC requirements for information storage and retrieval; No additional infrastructure need or cost to firms for storage of information; valid for any audit
Centralized reporting	Access activity status instantly from firm level down to individual level to meet SEC and FINRA audit requirements. (testing and monitoring requirements Rules 3012, 3013, SEC 38a-1)
Online, on-demand, 24x7	Save travel costs, no out of field lost sales time, convenient scheduling
Online forms (WSP, OBA, ACQ)	Gain instant access to desired forms, completion status, and location in the process
Routing and approval process	Send forms for review and approval in real-time
Online Annual Compliance Meeting	Deliver the ACM online, satisfying FINRA Rule 3010(a)(7)
Firm Element training catalog	Access and assign both partner content or client developed content
CE training and administration supported	Offer state CE credits to enhance value of client provided or off the shelf courseware
Configurable personnel hierarchy support	Tailor the system to meet the exact structure of client's field and home office hierarchy for access and reporting
Complete User Profiles including	Target required activities automatically based on license type licensing and designations
Email notifications and system flags	Get instant notification on events in the system critical to remaining in compliance
Managed service model	Flexibility and reduced infrastructure costs to handle peak loads

## Example Forms, Programs, Reports

**OBA Disclosure**

Question	Response
1. Do you offer, sell or service fixed annuities or non-variable insurance (life, accident, health, disability income, property & casualty, long term care)?	<input type="radio"/> Yes <input type="radio"/> No
2. Do you offer, sell or service equity indexed annuities, sometimes referred to as fixed indexed annuities?	<input type="radio"/> Yes <input type="radio"/> No
3. Do you receive compensation for acting as a broker, consultant, commissioner, or any other fiduciary role, for anyone other than immediate family members?	<input type="radio"/> Yes <input type="radio"/> No
4. Are you a consultant for, or affiliated with, a multi-level marketing company? Examples include, but are not limited to: Pre-Paid Legal Services, Armaay, HealthLife, Wellness, Mary Kay, WorldWide, etc.?	<input type="radio"/> Yes <input type="radio"/> No
5. Do you act as an Investment Advice Representative (IAR) for a Registered Investment Advisor (RIA) other than Woodbury and/or own or operate an IAR entity from Woodbury?	<input type="radio"/> Yes <input type="radio"/> No
6. Do you receive any compensation for referring securities clients to other non securities clients to other non securities businesses?	<input type="radio"/> Yes <input type="radio"/> No
7. Are you a practicing attorney?	<input type="radio"/> Yes <input type="radio"/> No
8. Are you a Certified Public Accountant, tax preparer, an accountant or similar?	<input type="radio"/> Yes <input type="radio"/> No
9. Are you a real estate agent or do you facilitate the purchase or sales of real estate for a fee?	<input type="radio"/> Yes <input type="radio"/> No
10. Are you involved in property management and/or own rental properties?	<input type="radio"/> Yes <input type="radio"/> No
11. Are you a mortgage broker or involved in arranging customer financing?	<input type="radio"/> Yes <input type="radio"/> No
12. Do you serve in a leadership role for a charity, town, non-profit organization, or any other organization? Examples include, but are not limited to, board member, treasurer, bookkeeper, public official, or mayor?	<input type="radio"/> Yes <input type="radio"/> No
13. Are you engaged in trading activities?	<input type="radio"/> Yes <input type="radio"/> No
14. Are you involved in any other outside business activities?	<input type="radio"/> Yes <input type="radio"/> No

OBA Review Page | Continue

Sel.	Submitter Name	Sub. Date	Auth. Date	Dist. Ch.	Location	Local Reviewer	Approver Name	Current Status	Reviewer Name	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13	Q14	Q15
<input type="checkbox"/>	Brown, John	11/23/09	11/26/09	RVP	Territory 1	Bianco, Paul	Bill Smith	Complete	Thomas McGrath	X											X	X	X	
<input type="checkbox"/>	Brown, Donna	11/23/09	11/26/09	RVP	Territory 1	Bianco, Paul	Ed Pappas	Assigned	Bob Jones															
<input type="checkbox"/>	Brownska, Norman	11/23/09	11/26/09	RVP	Territory 1	Jones, Paul	Karen Savis	Complete	Bob Jones	X												X		
<input type="checkbox"/>	Cannon, John	11/23/09	11/26/09	RVP	Territory 1	Bianco, Paul	Karen Savis	Assigned	Thomas Smith											X				
<input type="checkbox"/>	Care, Josephine	11/23/09	11/26/09	RVP	Territory 1	Sikora, Jack	Karen Savis	Assigned	Thomas Smith	X					X									X
<input type="checkbox"/>	Channing, Martha	11/23/09	11/26/09	RVP	Territory 1	Bianco, Paul	Karen Savis	Complete	Thomas Smith	X				X	X									
<input type="checkbox"/>	Chow, Constance	11/23/09	11/26/09	RVP	Territory 1	Sikora, Jack	Bill Smith	Complete	Bob Jones															
<input type="checkbox"/>	Connors, William	11/23/09	11/26/09	RVP	Territory 1	Bianco, Paul	Ed Pappas	Complete	Thomas McGrath	X						X			X			X		

### OBA Work Queue

Provides OSJs and authorized compliance personnel instant access to individual registered representatives OBA's for review and approval/denial.

### OBA

Pinpoint's "smart form" technology enables firms to configure OBA questions and review/approval process to their requirements.